

CONSTITUTION, BYLAWS AND STANDING RULES
OF THE
INSTITUTE OF ARCTIC AND ALPINE RESEARCH

(INSTAAR)

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By the Dean of the Graduate School on Jan 27, 2004

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CONSTITUTION OF THE INSTITUTE OF ARCTIC AND ALPINE RESEARCH

I. Establishment

The University of Colorado established the Institute of Arctic and Alpine Research (INSTAAR) in 1951, in order to promote more vigorously the study of mountain and northern regions.

II. Mission

The Institute of Arctic and Alpine Research develops scientific knowledge of natural and anthropogenic physical and biogeochemical environmental processes at local, regional and global scales, and applies this knowledge to improve society's awareness and understanding of environmental change. The world's high-altitude and high-latitude regions are the Institute's traditional focus, but the pursuit of understanding of these regions has led INSTAAR to a geographically wide range of interdisciplinary studies of Quaternary and modern environments, which include research in geochronology, human and ecosystem ecology, hydrology, oceanography, landscape evolution, biogeochemistry, and climate. INSTAAR's national and international research leadership in these areas is augmented by exceptional strength in graduate education and exposure of undergraduates to the research process, as well as by outreach to the public both locally and nationally.

INSTAAR's *Research Activities* integrate field studies, state-of-the-art laboratory experiments, field and laboratory data analysis, and numerical and laboratory modeling. INSTAAR, both historically and currently, emphasizes three themes of research.

The *Ecosystems Group* focuses on the biological components of alpine and polar systems, global carbon and nitrogen cycling, the dynamics of biodiversity, and ecosystem disturbance and recovery. *Long-Term Ecological Research (LTER)* studies in alpine and polar regions are emphasized, involving populations and communities, biogeochemistry, and ecophysiology. Modern tools include geographic information systems (GIS), remote sensing, and ecosystem modeling. The *Mountain Research Station* offers a world-class complex of laboratory and field facilities to support these year-round research efforts.

The *Geophysics Group* applies quantitative field and numerical methods to discover the properties and dynamics of snow, ice, water, and sediments in the world's oceans, glaciers, and land areas. Methods of analysis include theoretical and numerical development, remote sensing, land, airborne, and ship-borne field experiments, all applied to problems in hydrology, glaciology, frozen-ground studies, paleoclimatology, physical oceanography, and marine geology. To facilitate these interests, the *Environmental Computation and Imaging Facility* provides researchers with supercomputer power and global connections to geophysical databases.

The *Past Global Change Group* focuses on the reconstruction of the dynamics of paleo-environments and past climate variability to enhance our understanding of the interactions between all components of the earth system, including atmosphere, ocean, land, ice, the biosphere and including human ecology. Integration of a variety of records from a global network of sites, from polar ice caps to continental alpine regions and to the world's oceans, provides the capability to test conceptual and predictive global change models, to facilitate the differentiation between natural and human-induced change and to study the human impacts of changes. To facilitate these interests, the *Center for Geochronological Research (CGR)* provides scientists with state-of-the-art analytical facilities to address the cause, timing, and rates of environmental change in recent Earth history. The CGR fosters synergistic relationships across traditional disciplinary boundaries in order to understand the global circulation system.

INSTAAR's *Teaching Mission* is directed toward fostering an appreciation and understanding of the biological, chemical, and physical processes operating in continental and ocean environments. The

Mountain Research Station and other study sites in the mountains of Colorado aid the educational efforts of the Institute. INSTAAR supports the University of Colorado's educational mission and provides interdisciplinary graduate and undergraduate classes and research opportunities. Our teaching mission includes international educational experiences for University of Colorado students, training of foreign students, and volunteer outreach to community schools and various other external constituencies.

INSTAAR's *Societal Mission* consists of activities in research, education, and science leadership. These activities address critical concerns involving issues such as ecosystem stability, biodiversity, water resources, agriculture, national security, and resources in sites ranging from the alpine areas of the Rocky Mountains to the remote regions of the world. Our expertise is applied to predictive understanding of environmental processes, including the maintenance of water quality and anticipating and responding to long-term environmental alterations. Changes and disturbance in high-latitude regions not only affect the lives of the indigenous residents but also have a bearing on the lives of people everywhere, through global teleconnections.

III. Organization

The Institute of Arctic and Alpine Research, as a unit of the University of Colorado at Boulder (UCB), is subject to the rules of the Regents, the policies of the University, and the Institute's Bylaws. The Director of INSTAAR is the principal executive officer of the Institute, responsible for its overall leadership. The Director is assisted by an Associate Director, who carries out specific assignments according to the needs of the Institute. The Director of the Mountain Research Station, assisted by an Executive Committee, is responsible to the Director of INSTAAR for the administration of the Mountain Research Station. The Directorate of INSTAAR, as defined in the Bylaws, is responsible for planning and performing the research and educational programs of the Institute and ensuring stability in its programs.

The Institute, through its Director, reports to the Dean of the Graduate School. A Council, composed of the INSTAAR Director, the Chairs of cognate academic departments at UCB, and the Deans of the cognate schools and/or colleges, advises the Director on the operation of the Institute. The scientific program, resources, and needs of the Institute are evaluated at regular intervals by a Scientific Advisory Committee appointed by the Dean of the Graduate School on the recommendation of the Director. The procedures for appointing Members, including the administrative officers of the Institute are detailed in the Bylaws. Participation in the Institute is open to UCB and other scientists based on their credentials and the formal criteria specified in the Bylaws.

BYLAWS OF THE INSTITUTE OF ARCTIC AND ALPINE RESEARCH

I. GOVERNANCE

A. Directorate

The Institute is governed by a Directorate composed of the following voting members: Director, Associate Director, Director of the Mountain Research Station, Fellows, Teaching Faculty, Research Faculty (Research Scientists: RS II and above; Research Professors). The Administrative officer, the Assistant to the Director, Emeriti, Librarian, Managing Editor of *Arctic, Antarctic and Alpine Research*, System Administrator, Web Master, and one representative each from the Graduate Students, Professional Scientists, and Post-Doctoral Fellows (RS-I) serve as non-voting members. The Directorate is responsible for designing, initiating, and carrying out the research and educational programs of the Institute, for ensuring continuity in the nature of the scientific tasks and in the resources for conducting them, and for coordinating the work with the relevant external organizations.

1. The Director is the principal executive officer and appointing authority, responsible for the overall leadership of the Institute within the Rules of the Regents, the policies of the University, and

the Bylaws of the Institute. The Director is responsible for the finances of the Institute. The Director reports to the Dean of the Graduate School on matters pertaining to the Institute's administrative, management, research, and teaching programs. The Director shall be a Fellow ex officio of and rostered in the Institute, and also member of a department in which he or she holds tenure. The Director is the official spokesperson and representative of the Institute. The Director may appoint an Acting Director during periods of absence.

2. The Associate Director is a Fellow of INSTAAR, and may serve as Acting Director of INSTAAR in the absence of the Director. The Director assigns the duties of the Associate Director.

3. The Director of the Mountain Research Station is responsible to the Director of the Institute for the operation of the Mountain Research Station, which is available as a University facility. The Director of the Mountain Research Station shall be a Fellow ex officio of INSTAAR, but not necessarily a faculty member in the University. The duties of the MRS Director shall include responsibility for:

- a. maintaining safe and efficient facilities at the Station,
- b. developing and managing the teaching program at the Station,
- c. developing and facilitating research programs at the Station,
- d. developing communication and outreach programs with other units of the University and research and educational community,
- e. liaison with pertinent agencies and institutions,
- f. supervising Station staff, and ensuring the safety and well-being of Station users, and
- g. the finances of the Mountain Research Station.

4. Voting

a. A quorum shall consist of a simple majority of the voting members of the Directorate. Motions moved and seconded for consideration in any meeting are voted on and will carry by a simple majority of the voting members present. Unless specified elsewhere in these Bylaws, the Directorate may vote on any item brought before it.

b. Any motion for which the vote of the quorum could be nullified by a vote of the full membership, a mail ballot may be requested by any member present.

c. Absent Directorate members may request, in advance, either a mail ballot or to be excluded from voting. Reasonable effort shall be made to contact Directorate members who will be absent in advance of votes on Bylaws and personnel matters.

5. Committees

a. Executive Committee

The INSTAAR Executive Committee is composed of one representative elected from each of the three research-interest groups (Ecosystems, Geophysics, and Past Global Change), directors or their designees of the two units recognized by the University as being distinct entities within INSTAAR (MRS and Geochronological Center), the Associate Director, the Director, and a member-at-large, elected from the Directorate. The Director serves as Chair of the Executive Committee. The Administrative Officer and the Assistant to the Director serve in an ex officio, nonvoting capacity. The elected Head of each Group may choose an alternate in case they are unable to attend an Executive Committee meeting. Elected members of the Executive Committee will be elected to two-year terms that will be staggered to ensure overlap and corporate memory. The Executive Committee shall advise the Director on both fiduciary obligations and financial matters involving the Institute. Monthly meetings on a need basis will be scheduled. Minutes of Executive Committee meetings are considered confidential but may be viewed by a voting-Directorate member upon request.

b. Evaluation Committee

The Evaluation Committee is concerned with the appointment, promotion, and ongoing status of Fellows and Research Scientists in the Institute, following the procedures outlined in Section III and detailed in the Standing Rules. The Committee is appointed or re-appointed by the Director on an annual basis. It consists of three INSTAAR Fellows and three non-INSTAAR CU

faculty. Its recommendations concerning Fellows are discussed and voted on by the Fellows, and concerning Research Scientists by the Fellows and Research Scientists with voting privileges. Those wishing to appeal a decision should follow the procedures outlined in the Standing Rules.

c. The Mountain Research Station Executive Committee

The Mountain Research Station Executive Committee is appointed by the Dean of the Graduate School on the recommendation of the Director of the Institute and the advise of the Director of the Mountain Research Station. It is charged with advising the Director of the Mountain Research Station on the operation of the Mountain Research Station. The MRS Director serves as Chair of the Executive Committee. Monthly meetings on a need basis will be scheduled.

d. Standing and Ad-Hoc Committees

Such Committees may be appointed and charged, or disbanded by the Director as required. See Standing Rules.

B. Meetings

1. General Meetings

General Meetings of the Institute are held at least once each semester during the academic year. All INSTAAR personnel are strongly encouraged to attend.

2. Meetings of the Directorate

Meetings of the Directorate are chaired by the Director or designee, and held monthly during the academic year, or more frequently as required. An agenda shall be circulated prior to each meeting and minutes circulated after the meeting and prior to the next meeting. Directorate members may add items to the agenda.

C. Centers and other units within INSTAAR

Centers, and other such units may be formed within INSTAAR, if they are consistent with the mission of the Institute and with University policies and requirements.

D. Council

The Council consists of the Institute Director, Chairs of the departments in which Directorate members hold academic appointments, the Dean(s) of the college and school in which the departments reside, and the Dean of the Graduate School in a non-voting capacity. The Director or Dean of the Graduate School may call upon the Council for advice on broad operational policies, academic programs, staffing, facilities needs of the Institute and such other aspects of the Institute as are indicated elsewhere in these Bylaws. The Council meets as required to consider matters pertaining to INSTAAR.

E. Scientific Advisory Committee

The Scientific Advisory Committee is the external review body for INSTAAR. The Committee advises the Dean of the Graduate School and the Director on the programs of the Institute. Its members, selected by the Dean of the Graduate School on the recommendation of the Director, serve staggered terms of four years and are eligible for reappointment. The chair of the Committee is elected by its members. The Scientific Advisory Committee meets periodically in Boulder to evaluate the general scientific and teaching directions and needs of the Institute. The Committee advises the Director and the Dean of the Graduate School of its deliberations in a report that is also submitted to the Council of Deans of UCB.

II. MEMBERS OF INSTAAR

A. Teaching Faculty

A tenured or tenure-track Teaching Professor is rostered in one of the Schools and Colleges of the CU Boulder campus and assigned teaching duties and responsibilities, as defined in the CU Faculty Handbook [http://www.cu.edu/faculty/fac_handbook/03/Three-III.html]. Those at the Associate or Full Professor level are normally considered by a vote of the Fellows of the Directorate for change in status to Fellow (see below). All Teaching Faculty report to the Institute Director, and in some cases also to the Chair of the Department in which they are rostered in.

B. Research Faculty

(1) Research Professors

A Research Professor is a title parallel to Teaching Professor series (Assistant, Associate, Full) in terms of equivalency, has been appointed by the Fellows of the Directorate, with approval of the Dean of the Graduate School. Research Professors must be co-sponsored by an academic primary unit that will be a beneficiary of the instructional contributions of the research faculty member. The details of this series are outlined at the Graduate School web site: <http://www.colorado.edu/graduateschool/researchfaculty.html> .

(2) Research Scientists

A Research Scientist (Faculty) of INSTAAR is a person whose professional activity contributes to the goals and missions of INSTAAR, including research and education; who is recognized or has the potential to be recognized for excellence in his or her field; whose appointment is with the University of Colorado; and who has been appointed to INSTAAR according to the procedures given in the Standing Rules. INSTAAR will strive to include in its Research Scientists a diversity of scientific specializations and educational backgrounds. Research Scientists (II and above) report to the Director. Further details on research faculty can be found at the Graduate School web site: <http://www.colorado.edu/graduateschool/researchfaculty.html>.

C. Other Ranks

(1) Post-Doctoral Fellows

A Post-Doctoral Fellow of INSTAAR is a person whose professional activity contributes to the goals and missions of INSTAAR, including research and education; who has completed their doctoral studies; whose appointment is with the University of Colorado; and who has been appointed to INSTAAR according to the procedures given in the Standing Rules. They are awarded the status of Research Scientist-I (RS-I) within INSTAAR. Post-Doctoral Fellows will report to a voting member of the Directorate, who is to act as their supervisor. The details on research faculty can be found at the Graduate School web site: <http://www.colorado.edu/graduateschool/researchfaculty.html> .

(2) Affiliates

An Affiliate of INSTAAR is a person who has active ongoing collaboration with INSTAAR through research, teaching, or other projects; meets the academic standards of the University of Colorado and INSTAAR; and has been appointed according to the Standing Rules of the Institute. An affiliate is normally not an employee, rather a friend, of INSTAAR. If an affiliate can and will draw salary on a research grant or contract run through the Institute and is not already an employee of the University, then the affiliate will be reappointed as an employee of CU, i.e. a research scientist (see above). INSTAAR offers affiliates an opportunity to further their own research interests or participate in the educational mission of the Institute. Affiliates must be assigned a voting-member of the Directorate as their sponsor, and if employed the sponsor will act as their supervisor.

(3) Staff: State-classified, Professional-Exempt, and Professional Scientists

INSTAAR Staff assist in the management and administration of the Institute and with the research endeavors conducted by the Institute. State-classified Staff are State of Colorado civil service employees. Professional-Exempt are defined and described at the following web page []. Professional Scientists are defined and described in Institute Standing Rules (below), with details outlined at the Graduate School web site: <http://www.colorado.edu/graduateschool/researchfaculty.html>. All INSTAAR staff will be in a supervised position that leads either directly or indirectly to a voting member of the Directorate.

(4) Graduate Students

Graduate students may be affiliated with INSTAAR. At the beginning of each academic year, a list of INSTAAR-affiliated graduate students shall be developed by the

Office of the Director. Each graduate student shall have a voting member of the Directorate as their principal supervisor (approved by a university department and the Dean of the Graduate School), and shall conduct research compatible with the mission of INSTAAR.

(5) Visiting Scientists and Visiting Professors

Visitors to the Institute, given sponsorship by a member of the Directorate, are approved by the Director, and accorded the title “Visiting Scientist” or designated “Visiting ...” (i.e. followed by the academic title indicating the visitor’s rank at his or her home institution) as specified at the CU Faculty web page http://www.cu.edu/faculty/fac_handbook/03/Three-VIII.html.

D. Fellows and Fellows Emeriti

A Fellow of INSTAAR is a person whose professional activity contributes to the goals and mission of INSTAAR, including research and education; who is recognized for excellence in his or her field, by the Fellows of the Institute; whose appointment is with the University of Colorado; and who has been appointed to INSTAAR according to the procedures given in the Standing Rules. A Fellow may be someone either in the Research Faculty, Teaching Faculty or Research Professor series, according to the procedures given in the Standing Rules. INSTAAR will strive to include in its Fellows a diversity of mission-related scientific specializations and educational backgrounds. Fellows of the Institute report to the Director.

Fellows Emeriti are designated as non-voting Fellow of INSTAAR. See Standing Rules. The details of this series is outlined in the Faculty Handbook web site: http://www.cusys.edu/faculty/fac_handbook/03/Three-VIII.html.

III. APPOINTMENTS AND EVALUATION

A. Appointments

1a. Selection and Appointment of the Institute Director

When the selection of a Director is to be made, the Dean of the Graduate School working with the Directorate of INSTAAR will establish a Search Committee, which will work according to UCB Policy on Diversity. Since the Director will be tenured in an academic department, the search Committee will be arranged jointly with a relevant department(s). The Director will hold a tenured position in an academic department and should hold research credentials relevant to the Institute's mission. After a nominee is agreed upon by the INSTAAR Directorate and the Department, the nomination will be forwarded to the Dean of the Graduate School, the Provost, and Regents of the University of Colorado. The Dean of the Graduate School appoints the Director, subject to approval of the Provost and the Board of Regents. The appointment is full time for a four-year term (see University of Colorado Faculty Handbook). The Director is eligible for reappointment; following approval by the Directorate, the nomination will be forwarded to the Council, the Dean of the Graduate School, the Provost, and Regents of the University of Colorado.

1b. An Acting Director shall be appointed from the Directorate by the Director during periods of absence.

1c. Interim Director. In the event of incapacity, death, or resignation of the Director, the voting members of the Directorate will recommend to the Dean of the Graduate School the appointment of an Interim Director, pending the appointment of a new Director. Procedures for the selection and appointment of a Director must be started expeditiously.

2. Associate Director

The Associate Director serves on a one-year renewable term. A Fellow or Research Scientist of INSTAAR is proposed by the Director for the approval of the voting members of the Directorate by simple majority on secret ballot, and, following that approval, proposed to the Dean of the Graduate School for appointment.

3. Director of the Mountain Research Station

The Director of the Mountain Research Station is appointed by the Regents of the University on the recommendations of the Dean of the Graduate School and the Director (following a vote of the Directorate), and in compliance with University of Colorado at Boulder's Policy on Diversity. The Director of the Mountain Research Station serves in a four-year renewable appointment, salaried through the Office of the Dean of the Graduate School. The Director of INSTAAR, following a vote of the Directorate, may recommend renewals. The nomination will be forwarded to the Council, the Dean of the Graduate School, and the Provost, and Regents of the University of Colorado. When the position is vacant it shall be nationally advertised and the appointment of a new director made following University regulations. The academic interests of the appointee may vary according to the needs of the Institute.

4. Fellows, Research Scientists (II, III, SRS), Fellows Emeriti and Research Professors

The Evaluation Committee will evaluate appointments and re-appointments. The Committee will employ Evaluation Standards approved by the Directorate, Director and Dean. The current standards are given in the Standing Rules. Voting members of the Directorate as appropriate, then vote on the Committee's recommendations. The vote is forwarded to the Director for approval, and then on to the Dean of the Graduate School.

5. Post-Doctoral Fellows (Research Scientists I)

Appointments are through the Office of the Director according to procedures outlined in the Standing Rules. The Dean of the Graduate School will be informed of each appointment.

6. Staff

INSTAAR Staff who are to occupy a state classified position, are hired according to the appropriate state guidelines outlined in Desk Reference for Chairs and Directors. Professional-Exempt Staff and Professional Scientists are hired through appropriate Institute Standing Rule procedures, under the guidelines of the Vice Chancellor for Research, with appropriate documentation provided by the Principle Investigator (designated the supervisor) and final signature authority of the Institute Director. Professional Exempt Staff require the final approval of the Vice Chancellor for Research.

7. Affiliates

Appointments are through the Office of the Director according to procedures outlined in the Standing Rules. The Dean of the Graduate School will be informed of the appointment. A voting member of the Directorate will sponsor the affiliate and provide feedback to the Directorate on level and quality of interactions between the affiliate and the institute.

B. Evaluation

1. Director

The Dean of the Graduate School shall obtain a recommendation regarding the Director from the Directorate of INSTAAR and the department in which the Director holds tenure, and will make an annual evaluation of the Director.

2. Director of the Mountain Research Station

Evaluation of the Director of the Mountain Research Station will be made by the Director of the Institute, and forwarded to the Dean of the Graduate School.

3. Fellows, Research Professors, and Research Scientists (II, III, SRS)

No later than Feb. 15 of each year, each Directorate Member will provide the Director with a completed form "Faculty Report of Professional Activities". Annual evaluations will be carried out by the Director under advisement by the Executive Committee, and communicated to each Fellow and Research Scientist in writing. These written evaluations shall be provided to the Evaluation Committee, Departments and the Dean of the Graduate School as appropriate for recommendations on tenure, promotion, or salary adjustment.

4. Fellows Emeriti

No later than Feb. 15 of each year, each Fellow Emeritus will provide the Director's Office with a completed form "Faculty Report of Professional Activities". These will be stored and periodically reviewed by the Director or designee (e.g. Executive Committee) to ensure level of activity and institute support is appropriate. No formal annual review will be provided to Emeriti.

5. Post-Doctoral Fellows (Research Scientists I)

No later than June 15 of each year, each RS-I will provide the Director's Office, and their supervisor, with a completed form "Faculty Report of Professional Activities" or its equivalent. It is the supervisor's responsibility to conduct both a written and oral evaluation of the employee's performance, and provide a signed evaluation to the Office of the Director.

6. Staff

Staff supervisors evaluate classified Staff Personnel, Professional Scientists and Professional-Exempt Staff annually. Procedures for this evaluation and requirements for notifying staff of the results will follow the Rules and Regulations of the State Department of Personnel (University of Colorado Supervisors' Handbook for Classified Staff members and the Unclassified Staff Handbook for Professional Exempt Staff.) Evaluation of Professional Scientists follow the procedures outlined in the Standing Rules of the Institute, and the Dean of the Graduate School.

7. Affiliates

No annual evaluation will be conducted on an affiliate member. An informal evaluation of the Affiliate and their contribution to the institute will be conducted near the end of their appointment term, by the Director, in concert with members of the Directorate and direct input from the affiliate's sponsor on the Directorate.

IV. RESEARCH ORGANIZATION

Research proposals, including budget information, are circulated for approval within INSTAAR prior to their submission to the Office of Contracts and Grants (see Standing Rules). Particular attention is paid to a proposals' relevance to the Institute's mission. Budgets are developed with assistance from the Institute's Finance Officer so as to ensure essential support for Institute facilities, staff positions, and graduate students according to any guidelines that may be enacted by the Director. The Institute Director is administratively responsible for approved research proposals and related budgetary matters, including salaries proposed for Consultants, Research Scientists, and Staff. Research proposals requiring the use of facilities at the Mountain Research Station require the signatures of both the Institute Director and the Director of the Mountain Research Station. Principal Investigators are responsible for Staff and Graduate (and undergraduate) Research Assistant appointments and for the budgets of their grants and contracts.

V. PUBLICATIONS

A. Arctic, Antarctic, and Alpine Research, a quarterly, international refereed journal is published by INSTAAR. Operation of the Journal is governed by its own bylaws.

B. Occasional Papers is a series published by INSTAAR on work performed by INSTAAR personnel and colleagues. Proposals for Occasional Papers and sources of funding are approved by the Directorate in accordance with guidelines set out in "Policy Statement for Occasional Papers."

VI. FINANCES

The Director is responsible to the Dean of the Graduate School for all expenditures within Institute accounts. The Director or their designee, in a timely fashion and in consultation with the Executive Committee, shall prepare an annual budget for INSTAAR. The Executive Committee will review the year's budget actions and report on them to the Directorate, on an annual basis. The Executive Committee and the Directorate shall approve major changes to the budget. Any member of the Directorate may bring a budget matter to the attention of the Directorate via the Executive Committee.

The Director of the Mountain Research Station or their designee, in a timely fashion and in consultation with the MRS Executive Committee, shall prepare an annual budget for the Mountain Research Station. This Committee will review the year's budget actions and report on them to the Director on an annual basis. The Director shall approve major changes in the budget. Any member of the Directorate may bring a budget matter to the attention of the Director via the MRS Executive Committee.

VII. CHANGES TO THE BYLAWS

Changes to the Bylaws require written notice of motion to be submitted and circulated to all Directorate voting members, at least two weeks prior to the meeting at which they are to be considered. An absentee ballot will be provided for all Directorate voting members unable to attend such a meeting. Changes to the Bylaws require a two-thirds majority of all Directorate voting and will not take effect until approved by the Dean of the Graduate School. If the Dean of the Graduate School does not approve the recommended changes to the Bylaws, the Fellows and Scientists may appeal directly to the Provost.

VIII. CHANGES TO THE STANDING RULES

Changes to the Standing Rules require a simple majority of the voting members of the Directorate. An absentee ballot will be provided for all voting members of the Directorate unable to attend such a meeting.

STANDING RULES

(1) INSTAAR PERSONNEL EVALUATION STANDARDS

I. The Directorate

The Directorate of INSTAAR consists of: Fellows, Teaching Faculty, Research Faculty (Research Scientists: RS II and above; Research Professors), Director, Associate Director, Director of the Mountain Research Station, Librarian, Managing Editor of *Arctic, Antarctic and Alpine Research*, Finance Officer, Assistant to the Director, Emeriti, System Administrator, Web Master, and one representative each from the Graduate Students, Professional Scientists, and Post-Doctoral Fellows (RS-I). The Research Scientists Emeriti, Librarian, Managing Editor, Finance Officer, Assistant to the Director and the representatives of Graduate Students, Professional Scientists, and Post-Doctoral Fellows (RS-I), shall be non-voting members of the Directorate. Only Fellows may vote on promotion to Fellow.

Directorate Status

Post Doctoral Fellows (RS-I) are represented on the Directorate but all RS-Is are encouraged to attend Directorate meetings. On promotion or appointment to RS II, Directorate membership as a Research Faculty (either as a Research Scientist or Research Professor as determined separately) of INSTAAR is automatically conferred. On promotion or appointment to RS III or Senior RS, or Associate Research Professor or Research Professor, Directorate membership as Fellow of INSTAAR is automatically conferred. Teaching Faculty with appointments as Assistant Professor at CU may apply to the Evaluation Committee for Directorate membership. Teaching Faculty at the Associate Professor or Professor level at CU, may apply to the Evaluation Committee for consideration as Fellow of INSTAAR. Titles for teaching faculty require confirmation by the Directorate. Appointment as a Directorate member requires a substantial commitment by the individual to the Institute. In addition to participating in meetings of the Directorate, Fellows, Teaching and Research Faculty are expected to bring research projects and/or graduate students to the Institute, to submit grants through the Institute (perhaps in collaboration with a Department), to serve on INSTAAR committees, to attend Institute seminars, and to participate in the INSTAAR evaluation process.

II. Title and Evaluation of Teaching Faculty

Evaluation for rank, promotion, and tenure is handled jointly by the Institute and the individual's academic department.

III. Title and Evaluation for Promotion of Research Faculty

RS I

Research Scientist I (otherwise known as a post-doctoral fellow) ordinarily pertains to an individual who has a recent (< 5 yrs) Ph.D. or equivalent. An RS I is expected to pursue research, either individually or as a member of a team. Individuals holding this title are to be formally evaluated after no more than 5 years service for promotion to the level of RS II. Ordinarily an RS I not promoted to RS II after 5 years will not be reappointed to INSTAAR.

RS II

Research Scientist II is considered to be equivalent to the Assistant Professor title for teaching faculty, is attained by promotion from RS I or, when appropriate, is granted to individuals hired with 3 to 5 years of post-doctoral work elsewhere. An RS II is expected to participate actively in research and in the solicitation of external support for research, to submit papers to refereed journals and to present papers at national scientific meetings, and to be committed to INSTAAR'S goals and mission. RS IIs are to be evaluated after no more than 5 years of service for promotion to RS III. Ordinarily an RS II not promoted to RS III after 5 years would not be reappointed to INSTAAR.

RS III

Research Scientist III is considered by INSTAAR to be the equivalent of the Associate Professor title for teaching faculty, is attained by promotion from RS II or, when appropriate, is granted to individuals hired with 6 to 10 years of post-doctoral work elsewhere. An RS III is expected to show promising accomplishment in research, including regular publication of articles in prestigious refereed journals, regular presentation of papers at national or international scientific meetings, and be successful in obtaining research support funding. In addition, the individual would be expected to demonstrate a high level of commitment to the goals and mission of INSTAAR, and to provide service to the profession by serving on external committees or organizing or chairing national and/or international meetings, workshops, etc. This individual is expected to develop an academic relation with an appropriate department. RS IIIs are to be evaluated after no more than 5 years of service for promotion to Senior RS. An RS III may continue to be a member of INSTAAR if not promoted to Senior RS, and may subsequently reapply for promotion at a time determined by the Director.

Senior RS

This title is equivalent to the title of Professor for teaching faculty, and coincides with the existing University title of Senior Research Associate, for which standards and procedures are in place. This title would pertain to an individual who, because of outstanding, sustained, superior performance is recognized by his or her peers as an accomplished senior researcher in her or his field. Researchers with this title will have made outstanding contributions in research and achieved international recognition, as evidenced by original publications in internationally recognized peer-reviewed journals, service in national and international organizations and review groups, and continued research funding from peer-reviewed sources. A long-term commitment to INSTAAR's goals and mission is also required. This individual would be expected to have an academic relation with an appropriate department.

Fellow Emeritus

This title may be conferred on a limited number of senior researchers who have distinguished themselves as internationally recognized scientists based on past achievements, and who fulfill an important continuing role in INSTAAR's scientific and educational mission.

Research Professor Series

Research faculty appointments are initiated by an academic department or by INSTAAR. Appointments to the research professor series that are sponsored by INSTAAR must be co-sponsored by the academic department that will be the beneficiary of the instructional contributions of the research faculty member. The sponsoring unit(s) assume(s) the responsibility for providing members of its research faculty with appropriate resources not normally funded by grants and contracts (e.g., appropriate space). The sponsoring unit must indicate, at the time of nomination of a person to the research professor series, that such resources are available. Appointments will carry the title of the sponsoring unit (e.g., Associate Research Professor of the Institute of Arctic and Alpine Research). The details of this series are outlined at the Graduate School web site: <http://www.colorado.edu/graduateschool/researchfaculty.html>. Appointments automatically expire at the time specified in the appointment letter, and no further notification is required. Renewal is contingent upon satisfactory performance and upon a continuing need for and interest in the research work of the individual, as judged by the sponsoring unit(s) at the time of consideration for reappointment. Renewal is also contingent upon the sponsoring unit(s) being able to provide the appropriate support for the research (e.g., the physical space). All research faculty are employees-at-will, as defined by Colorado statute. General fund support may be provided for individuals in the research professor series when these individuals have accrued service to the University while funded on sponsored research and then find themselves without sponsored research support; i.e., the University may use general funds to support these individuals who are caught without sponsored support between projects (details of which are outlined in

<http://www.colorado.edu/graduateschool/researchfaculty.html>)

Assistant Research Professor

This title is parallel to the regular faculty rank of assistant professor. It is used for persons possessing the terminal degree appropriate to the discipline who show demonstrated promise of independent research contributions (e.g., judged by external letters of support, the assessment of their thesis or postdoctoral advisor and publication record), and who are qualified to participate in instructional activities at both the undergraduate and graduate levels. These instructional activities must involve participation in a formal course (ranging from several guest lectures to full responsibility) in one course every four semesters, and should also include some combination of supervision of graduate students, supervision of undergraduate students (e.g., through the UROP program), organizing summer program activities etc. The appointment is normally for two to four years and is renewable.

Associate Research Professor

This title is parallel to the regular faculty rank of associate professor. It is used for persons holding the terminal degree appropriate to the discipline who also have made significant contributions in research judged by their publications, funding history and external letters of evaluation. Appointments at this rank will require a demonstration of the applicant's current or planned involvement with the instructional activities of the host department. These activities will be of the same type as described above. The appointment is normally for three to four years and is renewable.

Research Professor

This title is parallel to the regular faculty rank of professor. It is used for persons who hold the terminal degree appropriate to the discipline and who have made outstanding contributions in research and have demonstrated ability to generate substantial external funding. Appointments at this rank will require a demonstration of the applicant's current or planned involvement with the instructional activities of the host department. These activities will be of the same type as described above. The appointment is normally for four years and is renewable.

IV. Title and Evaluation for Promotion of Professional Scientists

This title designates an individual possessing competence to carry out research or scholarly work of a quality comparable to that produced by a graduate student. Within the university system the INSTAAR title of "Professional Scientist or PS" has the designation "Professional Research Assistant or PRA" (see <http://www.colorado.edu/graduateschool/researchfaculty.html>). A Professional Scientist works in a collaborative role with a principal investigator and contributes substantively to the project. As a collaborator, the Professional Scientist may receive credit as author or co-author of publications and technical reports, and shares instructional responsibilities in the research setting. An individual employed in this capacity is not enrolled as a student. The bachelor's degree or equivalent experience is required for appointment to the Professional Scientist position. The title "Professional Scientist" is not used for individuals performing regular classified staff duties such as secretarial, clerical or accounting functions. A brief job description is required for all new Professional Scientist appointments.

Professional Scientist I

This is an entry-level title for an individual competent to carry out research or scholarly work of a quality comparable to that produced by a graduate student. The Bachelor's Degree or equivalent experience is required for appointment to the Professional Scientist I title. After a maximum of five years a Professional Scientist I will be evaluated for promotion to the next level. (See under Standing Rules, "Appointments and Promotions of Professional Scientists".)

Professional Scientist II

These individuals have B.S./B.A. degrees and at least five years of experience, either within their institute or department or elsewhere, or they hold recent (three years or newer) M.S./M.A. degrees or Professional Engineer's certification. After five years as a Professional Scientist II, an individual is eligible for promotion to Senior Professional Scientist. (See under Standing Rules, "Appointments and Promotions of Professional Scientists".)

Senior Professional Scientist

This title is coincident with the University title of Senior Professional Scientist. This title designates an individual possessing competence to carry out research or scholarly work of a quality comparable to that produced by a Ph.D. level graduate student research assistant. Appointment to this position is a promotion above the rank of Professional Scientist II. The Master's degree, Professional Engineer's certification, or equivalent experience is required for appointment as a Senior Professional Scientist. An individual employed in this capacity is not enrolled as a student. (See under Standing Rules, "Appointments and Promotions of Professional Scientists")

V. Evaluation Procedures for Teaching Faculty and Research Faculty

The Evaluation Committee and/or the Director and the Executive Committee (as outlined below) shall take into account and carefully evaluate the following:

- The candidate's research efforts, including written publications which the committee should thoroughly examine;
- For the purposes of appointment or promotion, the opinions of others in the candidate's field or in cognate fields who have particular knowledge of the candidate's research efforts;
- The candidate's University and public service, including the opinion of colleagues and others relative thereto;
- Any other information submitted by the candidate that the candidate believes will assure an adequate consideration and evaluation of his/her appointment, reappointment, or promotion;
- The opinions of members of other units within the University community who are competent to judge the candidate and have a legitimate interest in the appointment or promotion; and
- For the purposes of appointment or promotion, the opinions in writing of scholars from outside the University and from various locations who are qualified to judge the candidate. The candidate will be asked to provide some names of scholars who should be considered in selecting external reviewers.

Note: RS I applications are reviewed within INSTAAR, and do not require external reviewers.

Examples of Appropriate Criteria for Evaluation

A. Research

- Publications (peer-judged)
- Recognition by other scholars, e.g. citations
- Grants and contracts (sponsored research)
- Un-sponsored research
- Professional reputation (both inside and outside the University)
- Evidence of capacity for future achievements

B. Service

- University committees and administrative service
- Service to the profession and discipline (state, national, international level)
- Consultation and public service

C. Teaching

- Student evaluation of teaching
- Teaching awards and other outstanding accomplishments in instruction
- Peer evaluation of teaching
- Quality of doctoral dissertation and master's thesis supervision.

- Student advising
- Innovations in teaching
- Participation in teaching-related subject activities
- Effectiveness of students in succeeding courses
- Student performance on standard professional examinations
- Preparation of course materials

Individuals not ranked in the Teaching or Research Faculty lines may apply for a professional research assistant position, or a senior professional research assistant position. PI's or Co-PI's must have an appointment with INSTAAR as Teaching or Research Faculty, or Senior PRA, or have an application for appointment on file, with the exception of graduate students on doctoral dissertation grants.

VI. Annual Appraisals of Teaching and Research Faculty

By February 15 of each year, each Teaching and Research Faculty shall submit to the Office of the Director a completed Faculty Report of Professional Activities for the preceding calendar year. Each Faculty report will be reviewed by a member of the INSTAAR Executive Committee, and that review will be made known to the individual by the Director of INSTAAR by the end of the spring semester (for details see INSTAAR Equity plan). This review will treat adherence to INSTAAR's mission, productivity and service, will analyze progress, and may recommend further action. By June 15 of each year, RS-Is shall submit to the Office of the Director and to their supervisor who will conduct a review and discuss their findings with the individual, no later than the end of June.

VII. Annual Appraisal of Professional Scientists

Supervisors of Professional Scientists will perform annual evaluations, with feedback to the Professional Scientist, based on the performance criteria set forth in the "brief job description" required by the University for all PRA appointments. Annual evaluations will be performed after 1 year of employment, before June 15, and will be due to the Director on July 15 of each year. Copies of the evaluations will be confidential, and kept on file in the Director's office and can be referenced when evaluating promotions or at any other time by either party.

VIII. Comparison of INSTAAR's ranks with university classifications

Teaching Faculty

<i>University Classification</i>	<i>Directorate Status</i>
Professor Emeritus	Fellow* or Fellow Emeritus
Professor	Fellow*
Associate Professor	Fellow*
Assistant Professor	Research Scientist

Research Faculty

<i>INSTAAR Rank</i>	<i>Directorate Status</i>	<i>University Classification</i>
Fellow Emeriti	Non-voting member	Sr. Research Associate
Research Professor	Fellow*	Research Professor
Associate Res. Professor	Fellow*	Associate Research Professor
Assistant Res. Professor	Voting member	Assistant Research Professor
Senior RS	Fellow*	Sr. Research Associate
RS III	Fellow*	Research Associate
RS II	Voting member	Research Associate
RS I	non-voting representative	Research Associate
Sr. Professional Sci.	non-voting representative	Sr. PRA

*All Fellows are voting members of the Directorate.

IX. Appeal procedures in case of disagreement with evaluation by the Evaluation Committee

1. Personnel recommendations of the INSTAAR Evaluation Committee are provided first to the Director, and then presented to the INSTAAR Directorate. The Office of the Director will summarize the findings of both the Evaluation Committee and the Directorate, and make them available to the member. Where success in promotion or reappointment is not achieved, the Director will discuss the results and implications in a private meeting with the member under discussion. The Director is to make known at that time that the member has a right of appeal.
2. If an INSTAAR member desires to appeal the findings, a written statement by the appealing member should be provided to the evaluation committee, giving the reasons for the disagreement and documentation of relevant background information
3. The evaluation committee is to review the case and provide a written statement to the appealing member and to the Director. If the Evaluation Committee agrees with an appeal, a new written statement will be prepared and the old written statement will be destroyed. This statement and other pertinent materials would become part of the record consonant with University regulations.

If the case involves appointment or reappointment, the following additional steps may be followed:

4. If no agreement can be reached, an appeals committee is formed, composed of three members, the Director of INSTAAR (or in case of conflict of interest, one member of the INSTAAR Evaluation Committee), one member of the INSTAAR Council, and one member nominated by the appealing member.
5. The appeals committee reviews the case and subsequently calls for a hearing with the appealing member.
6. After the hearing, a written statement on the appeals committee's findings is given to the appealing member. If the issue is resolved, the recommendation is routed using the normal channels.
7. If no agreement can be reached, the case goes to the Dean of the Graduate School.

X. INSTAAR check list for appointment, re-appointment, and promotion

1. Appointment of RS-1 (Post-Doctoral Fellows)

- A. The appointment of an RS-1 is through the actions of a voting member of the INSTAAR Directorate, who is to be the supervisor (<http://instaar.colorado.edu/people/directorate.html>).
- B. The supervisor will conduct adequate reference checks on all candidates.
- C. The supervisor will provide the Office of the Director: (a) the applicants current CV; and (b) up to 5 of applicants best publications.
- D. The supervisor will: (a) discuss the level and logistics of any outside funds being transferred with the INSTAAR Finance Officer.
- E. The supervisor will discuss facility and space needs with the INSTAAR Associate Director and their Research Group Leader.
- F. The supervisor will send the Director:
 - (a) an unsigned letter of appointment in the voice of the Director on letterhead, the letter will include the tenure length, 12 month salary, %FTE, with the supervisor identified,
 - (b) an outline of the hiring procedure employed (where advertised, etc.),
 - (c) a short job description, describing funding and duties.

NOTE: Each year a salary range for PDFs (RS-1s) is set by the Office of the Director. Salary appointment requests above or below this range, must include a compelling argument.

G. Applicant will be interviewed by the Director, after their appointment, and declare which of the two post-doctoral tracks they wish to follow (see definitions below). The Director will also provide general advice to help their transition to INSTAAR life.

H. Definitions:

(a) Educational Track: a one to three year appointment where the PDF is fully expected to move onward to another institution or work place;

(b) Research Scientist Track: usually for more a mature or established PDF who has a set of skills that is of particular interests to supporting the mission of INSTAAR. After a one to five year period, the RS-I must undergo evaluation leading to promotion to RS-II. This step involves preparation work by the individual and subsequent examination by the INSTAAR Evaluation Committee. Failure to make promotion leaves the postdoctoral fellow with the need to seek employment elsewhere.

2. Appointment or Promotion to RS-2, RS-3, SRS, Fellow, Fellow Emeriti

A. Applicants wishing to be promoted or appointed to any of the following categories (RS-2, RS-3, SRS, Fellow, Fellow Emeriti) need to complete a file that includes:

(a) a formal letter of application,

(b) a 2-page account of their past achievements and future directions, and proposed fulltime research presence, and how these fit into INSTAAR's mission (<http://instaar.colorado.edu/intro/index.html>).

(c) a current CV

(d) up to 5 of their best publications

(e) the names and contact information of at least 6 references.

B. The Director will:

(a) obtain outside evaluation of the candidate with: copies of b, c and d above, and seek information on the candidate's comparative achievements and promise.

(b) where relevant, discuss the possibility of a Research Professorship with an appropriate Department Chair or the INSTAAR Directorate.

C. Applicant will contact INSTAAR Seminar Coordinator and arrange a seminar, which will be advertised in INSTAAR and any relevant university department.

D. Applicant will discuss the level and logistics of any outside funds being transferred with the INSTAAR Finance Officer.

E. Applicant will discuss facility and space needs with the INSTAAR Associate Director and appropriate Research Group Leader.

F. The INSTAAR Evaluation Committee will review the applicant's personnel file and present a recommendation to the Directorate concerning acceptance and rank.

G. The appropriate voting members of the Directorate will also read the files and subsequently vote on the candidate.

H. With a successful vote, the applicant will negotiate a salary level and/or any other conditions with the Director. The final decision is with the Director, who is the designated hiring authority of the Institute.

I. The Director will provide formal request for appointment to the Dean of the Graduate School, for all successful applicants according to the rules of the CU Graduate School <http://www.colorado.edu/graduateschool/researchfaculty.html>.

J. A formal offer letter will be sent to the applicant by the Dean of the Graduate School and the Vice Chancellor for Research appointing the applicant on behalf of the Board of Regents.

3. Reappointment without Promotion (RS-2, RS-3, SRS)

A. The Director's Office will notify the candidates prior to reappointment, and allow them to update their personnel file.

B. Applicants wishing to be re-appointed to any of the following categories (RS-2, RS-3, SRS, Fellow) need to complete a file that includes:

(a) a formal letter stating their desire for reappointment, with

- (b) a copy of a 2-page account of their past achievements and future directions, and proposed fulltime research presence, and how these fit into INSTAAR's mission.
- (c) a current CV
- (d) up to 5 of their best publications
- C. The INSTAAR Evaluation Committee will review the applicant's personnel file (including FRPAs) and present a recommendation to the Director and to the Directorate concerning reappointment.
- D. The appropriate voting members of the Directorate will also read the file and subsequently vote on the candidate according to the Institute Bylaws.
- E. The Director will provide formal request for appointment to the Dean of the Graduate School, for all successful applicants according to the rules of the CU Graduate School <http://www.colorado.edu/graduateschool/researchfaculty.html>.
- G. A formal offer letter will be sent to the applicant by the Dean of the Graduate School and the Vice Chancellor for Research appointing the applicant on behalf of the Board of Regents.

4. Fellow-Emeriti Reappointment

A Fellow Emeriti is appointed for life. Thus there is no subsequent need for reappointment (barring extenuating circumstances of a legal or moral nature). The level of institute support (including space) will depend on the level of activity within the institute.

5. Appointment, Promotion or Reappointment to the Research Professor series must follow the strict guidelines defining that classification as defined by the CU Graduate School <http://www.colorado.edu/graduateschool/researchfaculty.html>.

Terms lengths of appointment for this category are four years for all levels (Assistant, Associate and Full). Checklist for appointment, promotion and reappointment are provided below.

5a) Checklist For Research Professor Appointments

- *Approval from Dean of Graduate School*
- *Two outside letters* confirming independent research, originality, & quality of work
- *Assessment letter* from INSTAAR Director
- *Assessment letter* from Concurring Department Chair
- INSTAAR Directorate vote
- Concurring Department vote
- Description of nominee's expected & planned contributions to specific research projects
- Description of nominee's expected & planned teaching activities
- Anticipated impact on other programs (if relevant)
- Assessment of funding record, including amount of funding received, dates, amount of funding, source, and dates; indicate P.I. or Co-P.I. status
- Financial backstop INSTAAR will provide?
- Other INSTAAR support (i.e. office space, telephones)?
- Statement from nominee on *research plans*
- Statement from nominee on *teaching plans*
- Number of *voting members of the INSTAAR Directorate*?
- Number of *research professors* in INSTAAR?

5b) Checklist For Research Professor Promotion

- *Approval from Dean of Graduate School*
- *Curriculum Vitae* (including publications)
- *Two letters* from CU colleagues assessing educational activities
- *Two letters* from CU colleagues assessing research & professional efforts
- *Three external letters* assessing research & professional efforts
- *FCQ summary* for courses taught and/or evaluation letters from students
- *Assessment letter* from INSTAAR Director

- **Assessment letter** from Concurring Department Chair
- INSTAAR Directorate vote
- Concurring Department vote
- Description and assessment of research contributions
- Description and assessment of teaching / advising activities
- Impact of research / teaching on other programs
- Assessment of service (CU, public, professional)
- Assessment of efforts in securing grant/contract funding; list proposals submitted, awarded, rejected; award duration & amounts, role of nominee (P.I., co-P.I., other)
- Financial backstop INSTAAR will provide?
- Other INSTAAR support (i.e. office space, telephones)?
- Statement from nominee on **research plans**
- Statement from nominee on **teaching plans**
- Number of **voting members of the INSTAAR Directorate**?
- Number of **research professors** in INSTAAR?

5b) Checklist For Research Professor Reappointment

- **Approval from Dean of Graduate School**
- **Curriculum Vitae** (including publications)
- **Two letters** from CU colleagues assessing research & teaching activities
- **FCQ summary** for courses taught and/or evaluation letters from students
- **Assessment letter** from INSTAAR Director
- **Assessment letter** from Concurring Department Chair
- INSTAAR Directorate vote
- Concurring Department vote
- Description and assessment of research contributions
- Description and assessment of teaching / advising activities
- Impact of research / teaching on other programs
- Assessment of service (CU, public, professional)
- Assessment of efforts in securing grant/contract funding; list proposals submitted, awarded, rejected; award duration & amounts, role of nominee (P.I., co-P.I., other)
- Financial backstop INSTAAR will provide?
- Other INSTAAR support (i.e. office space, telephones)?
- Statement from nominee on **research plans**
- Statement from nominee on **teaching plans**
- Number of **voting members of the INSTAAR Directorate**?
- Number of **research professors** in INSTAAR?

6. Appointment as an Affiliate

An Affiliate, to some degree or another, participates in INSTAAR by:

- being a PI or CoPI on research grants together with INSTAAR scientists: *if an affiliate can and will draw salary on a grant, then the affiliate will be reappointed as an employee of CU, i.e. a research scientist.*
- providing and attending seminars or lectures at INSTAAR
- interacting with INSTAAR graduate students
- participating on INSTAAR committees when interested and appropriate
- providing a level of liaison with their host organization and INSTAAR
- attending Institute meetings, retreats and other more social functions.

Each applicant needs one or more sponsors to aid in their appointment as an INSTAAR Affiliate. The sponsor(s) must be a voting member of the Directorate (<http://instaar.colorado.edu/>).

A. Each applicant will send the INSTAAR Director:

- (a) a formal letter of application,
- (b) a copy of a 2-page account of their past achievements and future directions, and how these fit into INSTAAR's mission (see mission statements on <http://instaar.colorado.edu/>),

- (c) a current CV,
- (d) up to 5 of their best publications.
- B. Applicant or their Sponsor will contact INSTAAR Seminar Coordinator and arrange an advertised seminar.
- C. The Director will seek the advice of the directorate on acceptance of the applicant as an affiliate. The Director will seek the advice of the sponsor to ensure that any logistical needs of the applicant will be met either by the sponsor or the sponsoring research group.
- D. The Director will write a formal letter acknowledging the success, or lack thereof, in regards to their standing as an Affiliate of INSTAAR, with normal tenure being 4 years.

7. Reappointment as an Affiliate

An Affiliate cannot be reappointed with out the active sponsorship of a voting member of the Directorate. The Director will ask the sponsor and the Directorate about the possibility of reappointment of the affiliate. With a positive response the applicant will be asked of their interest to reapply and supply:

- (a) a request for reappointment (mentioning who their sponsor(s) is/are, and their interactions with that/those person(s));
- (b) an updated CV
- (c) up to 5 of their most recent publications.

The applicant's letter should include a brief statement on their research interactions at INSTAAR, for example their grantmanship activity, level of interactions with graduate students, and other ways the affiliate is involved in the mission and activities of INSTAAR.

8. Appointment of Professional Scientists

Information Distribution

- 1) A package of all pertinent and current information on policies and procedures affecting Professional Scientists shall be made available to new and existing PSs by the Office of the Director.
- 2) The above information will also be made available to all Principal Investigators who are preparing to hire a PS, along with guidelines for salaries and a check list of what is necessary (i.e. space requirements, building keys needed, phone and e-mail address, etc.). While no minimum or maximum salary will be stipulated, information on the existing PS salary range and averages calculated for INSTAAR will be provided by the Chief Finance Officer, so that the PI is aware of any departure from the norm.

9. Promotion From PS-I to PS-II*

- A. Applicant to notify their supervisor of their promotion interest.
- B. Applicant to submit to the Office of the Director:
 - (a) proof of B.S./B.A. degrees and at least five years of professional experience, or proof of recent (three years or newer) M.S./M.A. degrees, or Professional Engineer Certification.
 - (b) demonstrated competency through letter(s) of support from present and or prior supervisors, that outline accomplishments within established criteria (i.e. good judgment, proactiveness, independence, responsibility, success, technical competence, and possibly supervisory experience),
 - (c) two letters of support beyond the supervisor
 - (d) current vitae, and copies of any professional publications.
- C. Application to be approved in writing by the Director of INSTAAR.

[* Note: this promotion is considered a new job-level position within INSTAAR, associated with either new duties or more responsibilities, and thus it is expected that if funds permit, a midyear raise would be considered along with the job title change.]

10. Promotion to Senior Professional Scientist

- A. Applicant to notify their supervisor of their promotion interest.

B. Applicant to submit to the Office of the Director:

(a) proof of Master's degree, or Professional Engineer Certification, or equivalent experience,

(b) proof of 5yrs at the PS-II level or its equivalence.

(c) demonstrated competency through letter(s) of support from present and or prior supervisors that outline criteria (i.e. good judgment, proactiveness, independence, responsibility, success, technical competence, supervisory experience) and how the individual has met the criteria,

(d) two letters of support beyond supervisor

(e) current vitae, and any publications.

C. The application is first approved in writing by the Director of INSTAAR, and then in writing by the Dean of the Graduate School.

11. Appointment of Teaching Faculty

- Typically Teaching Faculty are appointed to the Directorate through a national/international search and job competition according to the rules of Board of Regents, those defined by affiliated School(s) or College(s), and the INSTAAR Standing Rules.
- The position is first approved by the appointing Dean(s) (e.g. Graduate School, Arts and Sciences, College of Engineering), in terms of FTE%, salary range.
- As Teaching Faculty have a primary or secondary home in an academic department, negotiations between Department Chair(s) and Institute Director define in general terms the workload (service, teaching and research). Approved faculty searches may be carried out in conjunction with a single department, or alternately with the choice of teaching home eventually left to a convergence of interests of different departments and the interests of the top candidate.
- All interested parties to the search, including those fostering the diversity of CU Faculty, must approve the job description.
- The job is advertised widely in professional societies and other academic units across the nation.
- A search committee is appointed by the Director to handle the position advertisement and to organize the responses in a manner suitable to the Institute and interested academic department(s).
- The search committee implements the search within the guidelines of the INSTAAR Diversity plan. The search committee selects a list of top applicants for review by the INSTAAR Directorate. The Directorate works with the committee to narrow the candidate list to short list that will be subsequently invited to participate in a thorough interview.
- The Director works with the associate Department Chair(s) to ensure an open interview to all interested parties.
- The Directorate will vote by secret ballot according to Directorate rules (e.g. only Fellows vote on Assoc. Professor, Full Professor appointments).
- Separate vote(s) will take place in one or more interested academic departments.
- If the position is funded by the Graduate School, and appointed by the Institute, the final choice of candidate lies with the INSTAAR Directorate.
- If another School or College funds the position, the final choice of candidate lies with the appointing academic department.
- Early negotiations during the search may have also established that agreement between the academic department and institute must occur. Rules on breaking ties must be agreed upon, before a final vote of the Directorate.
- The top candidate enters negotiations with the Institute Director, including apportioned workload (service, teaching, research), salary, and start up package. The academic department Chair may also be involved in negotiations related to work load, salary and start up package. The academic department Chair will decide on the details related to course teaching.

- The final letter of offer follows the rules of the Board of Regents, and normally includes four signatures on a letter of offer: Institute Director, Department Chair, Dean of the Graduate School (or other School or College), and the Provost.

Teaching Faculty who are already members in good standing of an affiliated CU Academic Department, may also apply to join the directorate. Their appointment follows the same procedures for the appointment of Research Faculty (see 2 above). The tenure or tenure-track home of the Teaching Faculty member, remains with the affiliated CU Academic Department/College. If a Faculty is relocated to the Institute, then the Faculty member must change the Departmental Allocation of Indirect Cost Recovery, as defined by the Institute. The Faculty member will also undergo annual review by both the original department and by the Institute. The annual raise is determined by the Chair of the tenure department.

12. Reappointment and Promotion of Teaching Faculty

Teaching Faculty are appointed to the Directorate for a term not to exceed five years. Teaching Faculty must be reappointed to the Directorate in a manner identical to Research Faculty (see 3 above). Teaching Faculty are promoted within the Directorate according to the rules of Board of Regents, and those defined by affiliated School(s) or College(s), concerning Teaching Faculty promotions. The promotion document and voting schedule are similar to those outlined for the Research Professor series (see 5 above).

XI. Policies and Procedures for Research Personnel Appointments

Benefits

This information below provides an overview of basic benefits and general policies pertaining to all categories of Research Professor, Associate Research Professor, Assistant Research Professor, Professional Research Scientists/Assistants, Senior Professional Research Scientists/Assistants, Research Scientists/Associates and Senior Research Scientists/Associates. Since this material is subject to change, the University of Colorado at Boulder assumes no liability for the information herein described. All research faculty with a hiring date of March 1, 2003 and thereafter are required, in addition to the supervisor, to sign this document effective March 1, 2003, due to the implementation of Policy 11-H (adopted September 7, 2000, amended October 2000) by the University of Colorado's System Administration. All current research faculty will also be required to sign a new Research Personnel Benefits Information sheet on or before October 1, 2003.

Vacation: Full-time research faculty earn 1.83 days (14.66 hours) per month worked, or 22 working days (176 hours) of paid vacation leave each year. Part-time research faculty (99% or less) are eligible to earn vacation on a prorated basis, based upon the percentage of the appointment. Supervisors are encouraged to urge employees to use earned vacation during the year. Waiver or postponement of vacation may be allowed only on review of circumstances and must be approved by the Director or his/her designee. Under no circumstances may more than 44 days (352 hours) of vacation be accrued. Individual units may allow fewer than 44 days total vacation accrual (see INSTAAR Leave Policy below). Direct compensation is not provided in lieu of earned vacation. Upon termination, resignation or retirement, direct payment is made in the equivalent amount of the employee's earned unused vacation up to a maximum of 44 days (352 hours). When a holiday occurs during a vacation the holiday is not considered a day of vacation. Vacation accrual is frozen during periods of leave without pay.

Institute of Arctic and Alpine Research: Leave Policy

Each year the Office of the Director, or the Chief Finance Officer, or their designee, are to remind supervisors and personnel of the Institute leave policy. Supervisors are responsible to inform and manage the leave of their employees.

- 1) Research employees have a right to take a leave each year.

- 2) Research employees on a 100% appointment earn 14.67 hours of annual leave per month. Employees on less than a 100% appointment will earn prorated amounts based on the percent of appointment (e.g., 75% appointment would earn 11.00 hours, 60% 8.80 hours, etc.). Research employees must be on the payroll (working or on paid leave) during the month in order to earn annual leave. Leave is credited to the employees annual leave balance, the first working day of the following month.
- 3) With supervisory approval, research employees may take annual leave as it is earned. For example, employees who have worked one month and earned 14.67 hours of annual leave and want to use all or part of it the following month, may do so with the prior approval of your supervisor.
- 4) The maximum amount of unused annual leave research employees may have at any one time during the year is 176 hours or 22 (8 hour) days.
- 5) Unused annual leave balances for research employees must be zero. On July 1, annual leave balance will reflect the number of hours you earned in June (e.g., 14.67 hours for employees on 100% appointment).
- 6) When special circumstances exist, research employees may request in writing, approval from the INSTAAR Director to carry an annual leave balance on July 1. This request must also be with the recommendation of the employee's supervisor. The request is to stipulate the number of hours the employee wants to carry forward and a date by which the annual leave will be taken. For example, if you are on a 100% appointment and are planning a one-week vacation in August, you will need to take 40 hours of annual leave. You may submit a request to the director to carry forward 40 hours of annual leave into July and indicate that the hours will be taken by August 31. Hours rolled forward but not used by the day indicated will be forfeited. Under no circumstances may vacation accrual exceed 44 days.
- 7) As a goal, annual leave should be taken or charged to the grant or funding source in which it was earned. Employees may be asked to use their annual leave before a grant they are working on ends or if the employee begins working on a new grant for a new PI. PIs and/or supervisors are responsible for ensuring vacation time is scheduled prior to the stop pay date of the personnel appointment.
- 8) The INSTAAR front office is responsible for documenting and tracking annual leave and must submit annual reports to the Vice Chancellor of Academic Affairs. It is very important that monthly leave records, approved and signed by supervisors, be submitted in a timely manner (e.g., by the 10th of the following month). Timely submission of leave reports will save hours of staff time. Cooperation in ensuring that this occurs is appreciated.
- 9) Supervisors will be given a copy of year to date leave balances on a quarterly or semi-annual basis. These should be reviewed with the employee to develop a schedule to use annual leave so as to avoid forfeiting amounts over the allowable maximum on June 30.
- 10) PIs/supervisors are solely responsible for maintaining the appropriate funds in their grants to cover any outstanding leave, both for their employees as well as themselves.
- 11) Compensation will not be provided upon termination for a leave balance above the maximum allowed.
- 12) All research personnel working at INSTAAR must agree to implement this policy.

Sick Leave: Full-time research faculty earn 1.25 days (10 hours) per month worked or 15 days (120 hours) sick leave per year. Part-time research faculty (99% or less) appointments earn sick leave on a prorated basis. There is no limit on the amount of sick leave accrued*. Sick leave should be used when the employee is unable to perform his/her job because of an illness or injury not covered by workers' compensation. Sick leave may also be granted for dental and medical appointments with the supervisor's approval. Employees are limited to five days of accrued sick leave per year to care for members of their immediate family who are ill or to take an immediate family member to a medical or dental appointment. *Retirement Grandfather Clause: Verification of accrued sick leave predating May 1, 2001 was entered into the University of Colorado Human Resources/PeopleSoft System by May 30, 2001, if the accruals are to be used as the basis for future claims. The maximum, per Regents Policy 11-H has put a maximum (120 days, or 960 hours) on the amount of sick leave that may be

paid at 25% at the time of retirement or an employee's death. The grandfather clause states: "employees who have earned unused sick leave in excess of 120 days on May 2, 2001, will be eligible to receive payment for 1/4th (25%) of that sick leave balance or any unused portion of the balance when they terminate, if they meet the age and service requirements for retirement (or upon death). A Frozen Sick Leave balance was created by the PBS (Payroll/Benefits Service) Department to serve as information only and to assist in determining the sick leave payout at retirement or death of an employee. If employment is terminated, direct compensation is not provided for unused sick leave.

Other Leave: A variety of other leaves (Court and Jury Leave, Funeral Leave, Leave for Job-Related Illnesses and Injuries, Leave Without Pay, Military Leave, Parental Leave, Administrative leave with pay, Educational leave with pay, and Compensatory Time) may be granted according to the policies of University:

<http://www.colorado.edu/graduateschool/researchfaculty/2003information.pdf>

Verification Of Leave Accruals And Recording Leave Usage: Each supervisor is responsible for maintaining accurate and complete vacation and sick leave records for personnel within his/her department or unit. The Institute's Accounting Technicians are responsible for entering usage of leave into the PeopleSoft system on a monthly basis. The University of Colorado Human Resources System will serve as the official repository for vacation and sick leave accruals and usage. These records will be used to verify leave benefits involved in termination, retirement, or inter-institutional transfer. This record must accompany termination papers for payment of annual leave. By the beginning of each fiscal year, every employee and supervisor shall sign the University of Colorado Human Resources System Leave Accruals Report to verify leave balances on an annual basis. No employee has the authority to verify the accuracy of his/her own vacation and sick leave record. For research faculty on twelve-month appointments, claims for termination, retirement, or inter-institutional transfer benefits based on accrued unused sick leave or vacation time, as provided in University policies, will only be honored on the basis of records verified as of May 1, 2001, and annually thereafter. Verification of accrued sick leave and vacation time predating May 1, 2001, must be entered into the University of Colorado Human Resources System by May 30, 2001, if they are to be used as the basis for future benefit claims. Each supervisor is responsible for ensuring that these policies for vacation, sick leave, and other leaves for officers, exempt professionals, and faculty on twelve-month appointments are applied in a consistent manner, and in consultation with appropriate human resources personnel where necessary, to achieve substantial uniformity across the four campuses of the University of Colorado.

Health, Dental And Life Insurance And Retirement: All employees who hold regular appointments for 50% or more are eligible to participate in group medical and life insurance plans. Social Security (FICA) and Medicare Tax Coverage are automatic upon employment (any appointment percent). The CU Optional Retirement Plan (Fidelity Investments, TIAA-CREFF, and Vanguard Group) is required coverage for 50% or above appointments after a one-year waiting period. Inquiries about availability and eligibility for specific plans should be directed to the Payroll/Benefits Service Center, telephone (303) 735-6500.

Tuition Waiver: The State of Colorado Fiscal rule 2-8-04 allows for a tuition waiver program (maximum of 6 hours per year) for permanent employees of the University. In order to qualify for this tuition waiver, the rule requires that a course must be job related and career enhancing.

General Policies and Procedures

Severance Of Employment: Employees in research faculty appointments are considered "employees-at-will". The following statement must be included in all offer letters to personnel in these job classifications: *"Under Section 24-19-104 of the Colorado Revised Statutes, your employment contract with the University of Colorado is subject to termination by you or the University at any time during the term of the contract and you are deemed to be an employee at will."*

No compensation, whether as liquidated damages, or as any other form of remuneration, shall be owed or paid to you upon or after the termination of such contract except for compensation that was earned prior to the termination, or prorated to the date of termination."

Salary Increments: Salary increments for research faculty may be granted only once per year. Increments are based upon merit evaluation of performance. Policies for determining the average percentage of this increase permitted are established each year by the Board of Regents, and the level for research faculty is equal to the level established for regular faculty increases in that fiscal year. The Office of the Vice Chancellor for Research/Dean of the Graduate School will issue information during the latter part of each Spring Semester regarding the salary increase process. Salary recommendations are required to be submitted by mid-July each year in order for the salary recommendations to become effective on **October 1** of each year. No increases are considered at any other time during the fiscal year except when a written request and justification for a salary adjustment is submitted for review and subsequently reviewed by the Vice Chancellor for Research/Dean of the Graduate School. Any increase above the established maximum level based upon a change in duties (or for any other reason) must be accompanied by a letter of justification containing relevant comparison salaries from a University of Colorado at Boulder unit. Requests for exceptions are reviewed and receive initial approval from the Vice Chancellor for Research/Dean of the Graduate School. Final approval is subject to action by the Chancellor of the University of Colorado at Boulder.

Patent And Copyright Policies: University policies with respect to patents and copyrights should be consulted if the employee believes they are relevant to work done while employed by the University of Colorado. Questions should be directed to the Office of Technology Transfer, Office of the Associate Vice Chancellor for Research (492-2889) or University Legal Counsel Office (492-7481).

Exceptions To Degree Requirements Professional Scientists are generally required to have a bachelor's degree, and Research Scientists to have a Ph.D. or other terminal degree. Requests for exceptions to the degree requirements will be considered based upon a review of the applicant's experience and qualifications and should be obtained prior to an offer of employment. Requests for exceptions to this policy should be addressed to the Vice Chancellor for Research/Dean of the Graduate School.

Affirmative Action: To ensure a broad representation of ethnicities/races and genders, departments should conduct searches for vacant positions. See INSTAAR Diversity Plan below. The Office of Vice Chancellor for Research/Dean of the Graduate School requires a "Search Statement" to support each proposed hire, as part of the hiring dossier. The hiring unit is expected to maintain the backup documentation for each hire. See INSTAAR Diversity Plan below..

Appointment Processing: All hiring dossiers are submitted to the Office of the Vice Chancellor for Research/Dean of the Graduate School. Individual hiring units are responsible for creating positions on-line, as well as inputting the hiring information on-line in PeopleSoft. Appointments will only be approved once the complete hiring dossier has been reviewed by the Office of the Vice Chancellor for Research/Dean of the Graduate School. Failure to adhere to this procedure or to published PeopleSoft Payroll Deadlines may result in the employee not being paid on time.

Checklist of Required Back-up Material for New Appointments

The following items are required by the Graduate School in order to process new appointments.

- _____ Affirmative Action Justification for Hire Form (100% appointments)
- _____ Proof of Degree (Transcript or Diploma)
- _____ Letter of Recommendation
- _____ Long-Form Vita
- _____ Brief Job Description (PRAs only)

Research Personnel Information

In addition to the material required above by the Graduate School, the Payroll Office requires the following forms for all new appointments, which may either be attached to the PAF as it is processed, or completed by the employee at the Payroll Office.

- _____ Direct Deposit Form
- _____ I-9 Immigration Form
- _____ W-4 Form
- _____ Employee Data Form
- _____ Personal Data Form (PDF)

XII. Salary Equity Evaluation System

1. Introduction

In accordance with the campus-wide Salary Equity Evaluation System (SEES), this document describes the procedures currently used and newly proposed to determine career merit and salaries and to handle salary grievances at the Institute of Arctic and Alpine Research. Excluding students and MRS instructors, INSTAAR currently (Fall 2003) has 13 teaching faculty, 15 research faculty, 11 post-doctoral fellows, 3 research emeriti, 33 affiliates, and 29 professional research assistants. The Institute attracts and welcomes researchers with wide experience outside Colorado, and many of them arrive well advanced in their career.

2. Teaching faculty

Faculty are expected to maintain the normal, roughly 40/40/20 proportion of teaching, research and service, although these proportions may be varied from time to time following discussion between the INSTAAR Director and the appropriate Department Chair, and when needed the Deans of the appropriate School or College. INSTAAR Teaching Faculty members have their initial (hiring) salary determined by negotiation with the INSTAAR Director. INSTAAR faculty members are presently associated with the departments of Geological Sciences, EE Biology, Geography, Civil Environmental and Architectural Engineering, Environmental Studies, and Anthropology. Evaluation, promotion and raises start with the Annual Report of Professional Activities (see Standing Rules).

The Director provides the Executive Committee’s annual evaluation to the appropriate Department Chair. The Director will provide feedback in writing annually, and from time to time discuss with the INSTAAR member his/her teaching, research and service record. The written evaluation includes a statement of expectations. Graduate School faculty members have their annual salary increases provided for by Director, and the Dean of the Graduate School, to deal with merit and equity (see below). The INSTAAR Director will take into account performance and salary of other comparable individuals within the Institute and the University. The Director and the Executive Committee will employ an annual evaluation scheme that reduces the chance of bias or perception from influencing the decision (see annual appraisal plan for teaching, research, and service).

3. Research Faculty

Faculty are expected to maintain the normal, roughly 0/80/20 proportion of teaching, research and service, although these proportions may be varied from time to time following discussion with the INSTAAR Director. Research Faculty who teach during a given year will normally have a 20/60/20 teaching, research, service load. INSTAAR Research Faculty members have their initial (hiring) salary determined by negotiation with the INSTAAR Director. The Evaluation Standards and merit factors, according to the Bylaws and Standing Rules of the Institute, govern rank and promotion of the Research Faculty. INSTAAR Research Faculty ranks are designed to correspond to those of the Teaching Faculty. Scatter plots for INSTAAR Faculty and for faculty of associated Departments help the Director to suggest appropriate annual salary increments based on merit and equity (see below). Evaluation, promotion and raises start with the Annual Report of Professional Activities (see Standing Rules). The Director and the Executive Committee will employ an annual evaluation

scheme that reduces the chance of bias or perception from influencing the decision (see annual appraisal plan for teaching, research, and service).

4. Post-doctoral Research Scientists.

Salaries of post-doctoral research scientists are initially determined by a Principal Investigator, but must fall within annual salary range guidelines set by the Director. Exceptions must be justified to and approved by the Director. Post-doctoral research scientists will be evaluated in the same way as the Research Scientists, except that, where appropriate, the Director will delegate the discussion to the supervisor (Principal Investigator).

5. Professional Scientists.

Professional Scientists are hired for various durations to conduct a wide variety of tasks, from simple to highly advanced. Their salary is determined by the grant Principal Investigator, but must fall within salary range guidelines set by the Director. Exceptions must be justified to and approved by the Director. Grievances can be handled by the procedure below.

6. Classified Staff

Classified staff are annual appraised according to the rules and guidelines of the State of Colorado and the Regents of the University of Colorado.

7. Promotions

Promotion is governed by the Institute Bylaws and Standing Rules (see above).

8. Salary and Equity determination:

The University sets the general cost-of-living increase for INSTAAR in a given year for distribution on a merit basis. A portion of the Institute's total annual cost-of-living allowance may be used for equity concerns of Teaching and Research Faculty. The previous years salary of a faculty member is incremented at some level, to take into account these cost-of-living merit adjustments and the level of equity adjustments. Letters of justification will also be issued by the Director to deal with equity concerns of Research Scientists.

A regression line based on a scatter plot of salary versus years since Ph.D. will be provided upon request, to any Teaching or Research Faculty member, with the individual's position highlighted. If the salary discrepancy has been determined and justified given a review of previous annual appraisals, a plan of redress is developed between the individual and the Director, but constrained by fiscal realities of available funds.

9. Grievance procedure.

Disagreements may be first raised informally with the Principal Investigator when appropriate, or the Director. If the disagreement or grievance remains, the Director, advised by the Executive Committee, will form a Committee of peers and senior personnel from outside the grievant's own chain of command. This Equity Appeal Committee will follow the guidelines of the university SEES. In particular:

- a. Grievances and the responses to them must be submitted in writing.
- b. Grievances must be based on the total salary, not on the annual raise.
- c. For Teaching and Research faculty, grievances must be based on comparisons with comparably meritorious faculty first in their own Department and then with all INSTAAR Faculty (directorate members).
- d. Any awards will be prospective only and not retroactive, and dependent on budget constraints.
- e. The Director's decision will normally be final; any subsequent appeal would begin at the Office of the Dean.
- f. In general, appeals would be made after the spring Annual Report and Evaluation, should be considered by the Appeals Committee in 30 days, and would have an effect on the pay scale on July 1.

XIII Annual Appraisal Guidelines for Teaching and Research Faculty

Appraisal guidelines are adjusted or fine-tuned from time to time to reflect the diversity of Directorate members and representative national academic standards. Outlined below are the most recent (Fall 2003) Annual Appraisal Guidelines.

Research is evaluated in terms of the year's publication record (40%), presentations (20%) and grantmanship activity (40%).

Publication record:

This is the permanent record of professional achievements, vetted through a peer-review process. **This is a two-year total** (e.g. calendar year 2002 and 2003).

0.5) **below expectations:** two (2) first-authored or co-authored peer-reviewed international publications (*defined as journal articles, or high visibility books including book chapters; papers are to be substantive and published in substantive venues*).

1.0) **meets expectations:** four (4) first-authored or co-authored peer-reviewed international publications

1.5) six (6) first-authored or co-authored peer-reviewed international publications

2.0) **exceeds expectations:** eight (8) peer-reviewed international publications: at least two first-authored

2.5) ten (10) peer-reviewed international publications: at least four first-authored

3.0) **greatly exceeds expectations:** twelve (12) peer-reviewed international publications: at least six first-authored

3.5) more than 50 citations per year on average (lifetime citations divided by years since Ph.D.)
It is possible to get bumped up **one-half category** by having written substantive and documented gray literature (*published conference proceedings, computer code*).

Presentations:

This provides a permanent record of public exposure of one's research to academic peers. **This is a one-year total** (calendar year 2003).

0.5) **below expectations:** one (1) presentations (talk/poster) at a national/international conference/symposia or other substantive venue

1.0) **meets expectations:** two (2)) presentations (talk/poster) at natl/internatl conference/symposia or other substantive venue

1.5) three (3) presentations (talk/poster) at natl/internatl conference/symposia or other substantive venue

2.0) **exceeds expectations:** four (4) presentations at natl/internatl conference/symposia or other substantive venue

2.5) five (5) presentations at natl/internatl conference/symposia or other substantive venue

3.0) **greatly exceeds expectation:** six (6) presentations at natl/internatl conference/symposia or other substantive venue

3.5) seven (7) presentations at natl/internatl conference/symposia or other substantive venue

Bump up **one-half category** by being an **invited-keynote** speaker at a national/international conference/symposia or other substantive venue; or television show, etc.

Grantmanship:

This provides a public scrutiny (program officers, panels, reviewers) of timeliness and value of one research with respect to national or international priorities. Grantmanship also provides a view on level of support provided to other institute employees (UGRA, GRA, PDF, PS, RS). **Full-time federal employees need only attain 50% of the activity to achieve recognition in any given category.**

0.5) **below expectations:** no (0) grants in force and two (2) substantive proposal submissions as PI or CoI

1.0) **meets expectations:** one (1) grant in force as PI or CoI and one (1) substantive proposal submissions as PI or CoI

1.5) one (1) grant in force as PI or CoI and three (3) substantive proposal submissions as PI or CoI

- 2.0) **exceeds expectations:** two (2) substantive grants in force (at least one as PI)
- 2.5) three (3) substantive grants in force (at least one as PI)
- 3.0) **greatly exceeds expectation:** four (4) or more substantive grants in force (at least two as PI)
- 3.5) all of (3) plus **significant** supervisory research activity (graduate or undergraduate students, PRAs, PDFs, other RSs)

Bump up **one-half category** for showing significant supervisory research activity (except for those in category 3.5), or large laboratory responsibility, or for being responsible for a megagrant or megaproject. A megagrant is defined as one involving many institutions (five or more) or many CoPIs (>7). A megaproject includes the leadership role in large research efforts in a coordinating capacity rather than a fiscal capacity.

Teaching: This provides the record for meeting the educational mission of the institute.

- 0.5) **below expectations:** poor teaching record
- 1.0) **meets expectations:** meeting **negotiated** teaching load in good standing (course load plus one (1) graduate student supervision);
- 1.5) meeting **negotiated** teaching load in good standing (course load plus two (2) graduate student supervision);
- 2.0) **exceeds expectations:** minimum expectations **plus** curriculum development, or new course development; or supervision of three (3) graduate students; or exceeding required teaching load; or substantive thesis committee activities
- 2.5) exceeds expectations items plus other activities, i.e. four (4) graduate students supervised
- 3.0) **greatly exceeds expectation:** exceeds expectations items plus other activities, i.e. two or more other students (graduate, UROP, SURF, SMART, honors);
- 3.5) all of the above plus greatly exceeding required teaching load; or very large numbers of thesis committees.

Bump up **one-half category** for stellar performance (i.e. all A's in student FCQs). Bump down **one-half category** for poor performance (i.e. C's and D's in student FCQs). FCQs are available on the web.

Service: This provides the record of commitment to the institute, the university, and the nation. *A substantive committee is defined as one that includes more than twenty (20) hours of activity. For those with greater service requirements, duties should be prorated. For 40% service, then the hours of activity should be multiplied by two, as with duties.*

- 0.5) **below expectations:** one (1) substantive institute/department/university committee (> 20 hours)
- 1.0) **meets expectations:** two (2) substantive institute/department/university committees (> 40 hours)
- 1.5) three (3) substantive institute/department/university committees (> 75 hours)
- 2.0) **exceeds expectations:** three (3) substantive institute/department/university committees PLUS one substantive professional committee activity or office; journal editor activity; panel membership (> 100 hours)
- 2.5) three (3) substantive institute/department/university committees PLUS two substantive professional committee activity or office; journal editor activity; panel membership (> 150 hours)
- 3.0) **greatly exceeds expectation:** four (4) substantive institute/department/university committees PLUS two substantive professional committee activity or office; journal editor activity; panel membership (> 200 hours)
- 3.5) four (4) substantive institute/department/university committees PLUS four substantive professional committee activity or office; journal editor activity; panel membership (> 250 hours)

Bump up **one-half category** for stellar professional achievement (awards/honors); or for significant fund raising for the institute; or for substantial professional outreach to the community.

(2) COMMITTEES

Standing Committees of INSTAAR include:

Executive Committee	Evaluation Committee
Space Committee	Journal Editorial Board
MRS Executive Committee	Computer Committee
Information Center Committee	Annual Report Committee
Graduate Student Committee	Web Committee
Diversity Committee	Appeals Committee

Advisory/Associate Committees include:

INSTAAR Council
INSTAAR Development Board
INSTAAR Scientific Advisory Committee
UCB Institute Directors Committee
East Campus Research Association

(3) INSTAAR SPACE POLICY: RL-1 (Rose Litman), RL-3 (ARC)

The following policy will govern the assignment of space by the INSTAAR Space Committee.

I. Priority for Space Assignments:

Space will be assigned to meet the research interests and needs of the following priorities:

- (1) INSTAAR Teaching and Research Faculty
- (2) INSTAAR Fellow Emeriti

Allocation of space for Post-doctoral Research Scientists (RS-1), Professional Scientists, Graduate Students, Affiliates, and Visiting Scientists should be negotiated by their sponsor/supervisor with the Space Committee prior to their arrival at INSTAAR.

II. Guidelines for Assigning Space:

- (a) Whenever possible, INSTAAR Fellows, Teaching and Research Faculty will have a private office. In most situations if the primary office is in another building, e.g. department, MRS, NOAA, the member may be asked to share office space in RL-1 or RL-3.
- (b) Whenever possible, space will be assigned to maximize communication among members of a research group within INSTAAR, e.g., LTER group, GAGE center, past global change group, geophysics group.
- (c) Faculty who sponsor visiting scientists or Affiliates must assume that it is their responsibility to provide office and laboratory space out of their own allocation, although if other space is available, private or semi-private offices will be assigned.
- (d) Faculty may ask their fellow research group members for space to meet the needs of their expanding research program or those personnel associated with their research program.
- (e) The Associate Director as advised by the Space Committee will make decisions on space that go beyond an individual Directorate member, or research group.
- (f) Graduate students will be assigned space as available in shared offices, common areas and appropriate laboratories.
- (g) The space needs of the front office, the journal *Arctic, Antarctic and Alpine Research*, and the Information Center, will be considered separately by the Space Committee to ensure adequate work and storage space and to allow for their uninterrupted and efficient operations.
- (h) Laboratory facilities are considered the space of the Institute and will be assigned on the basis of demonstrated need.
- (i) Each laboratory is to be assigned an Institute member as its lab coordinator for reasons of communication and to be the liaison with CU's Environmental Health and Safety personnel. The lab coordinator must remain up to date on all aspects of health and safety concerning the equipment and operations within the lab.

- (j) All space assignments should be considered temporary and can be changed by the Director or the Space Committee based on INSTAAR's overall needs.
- (k) The Director is the final arbitrator of disputes related to space and whose decision is final.

(4) PROPOSAL REQUIREMENTS

I. Minimum requirements for research proposals routed through INSTAAR:

- (A) Proposal information: Principal Investigator, CO-PI's, Mailing Deadline, receipt deadline, Agency/Division/Program, Program Manager: contact phone/fax/email; proposed start date, duration, years, full title, DA ICR Split,
- (B) A summary sheet provided to the Director 2 weeks before submission that documents: New personnel, (postdocs, students, professional scientists), space/facility implications, funding requested, cost-sharing approval for matching funds, abstract of scientific work.
- (C) A budget provided to the Chief Finance Officer, 2 weeks before submission.
- (D) Final text, references, CV's current and pending, etc. to the CU Office of Contracts and Grants at least two business days prior to submission

II. It is not necessary for Fellows to get the proposal reviewed, although they are encouraged to do so. All non-Fellows must have their proposal reviewed by two senior-level scientists, using the INSTAAR proposal review form.

III. All proposals involving the MRS and its facilities must obtain prior approval of the Director of the MRS.

IV. All non-Directorate members (e.g. Affiliates, Visiting Scientists, Professional Scientists, Graduate Students) must also obtain the signature approval of their sponsor/supervisor.

(5) DIVERSITY PLAN

The Institute of Arctic and Alpine Research (INSTAAR) recognizes the need and importance of increasing the diversity within its professions, based on values (i.e. a sense of fairness) and on science (restricting the size of the talent pool). **Definition of diversity:** We assess diversity through data and information on ethnicity, race, gender, national origin, and physical abilities (when known). Although the University more broadly defines diversity to include class, sexual orientation, and religion, we consider this information to be private and thus have not collected data or analyzed diversity relative to those factors. Thus the Institute affirms its desire for diversity in all employee categories: Teaching and Research Faculty, Professional Scientists, Affiliates, Visiting Scientists, Graduate Students, and Classified Staff.

Increasing the diversity of our faculty will be the core and key to our success, because role models are essential to attracting a new generation into a field. Institutions tend to perpetuate themselves unless they consciously choose to do otherwise, which has resulted in the serious imbalances that currently exist in some areas. At the same time we recognize the need for broad science education and outreach, and we encourage all of our members to be active in professional and community service and outreach activities that will have long-term benefits to our diversity and scientific excellence.

Action item 1: *Aggressively and actively recruit women and minorities during all regular hires, and pursue special opportunity hires when appropriate.*

Responsible individual(s): Search Committee Chairs, varies with search.

Rationale: To increase the representation of minorities and women in the tenure-track faculty ranks of the Institute. Both women and minorities are severely underrepresented within the tenure-track faculty of the Institute. The goal of any single hire is always to get the very best person available for the position. When establishing the guidelines for a given search, we will clearly communicate our needs to the associated department, which will include making certain that members of our most seriously underrepresented groups are included in the list of finalists. On occasion there are highly qualified minority or female finalists who for some reason are not judged to be the best person for a given position but who would make a strong addition to our program. In

those cases, we will work with the cognate department to pursue a possible second position through the special opportunity recruitment program.

Action item 2: Establish a mentoring program for Teaching and Research Faculty.

Responsible individual(s): Director, in conjunction with INSTAAR Fellows.

Rationale: To improve morale, retention, and stability of new faculty. Incoming *Teaching and Research Faculty* wish for better understanding and communication about the Institute and their obligations. Faculty members often feel pulled between the needs of the Institute and their department, and may feel isolated from the academic mainstream. Women and minority faculty in particular may experience feelings of isolation, but these feelings are not limited to those groups. There is a strong consensus that a formal mentoring program would make certain that individuals get the support and information that they need, particularly during the critical formative years of their careers. The mentoring program is designed to provide a means of smoother integration into the Institute for all incoming Faculty, at any level below Full Professor. The “term” of the mentoring will vary with the rank of the incoming faculty member, however the need for the mentor will naturally decline with time in all cases, and beyond the first few years of the appointment its continuation will be voluntary. The mentor will normally be a Full Professor for Assistant and Associate Professors and Fellow for Research Faculty. The appointment of a mentor is the responsibility of the Director and should be made within one month of the start of a new appointment. The mentor will be someone other than the direct supervisor. The specific responsibilities of the Mentor are to meet with the faculty member or research associate early in the appointment to discuss her or his planned research program and INSTAAR career and as needed after that. The Mentor is to serve as a guide and counselor only, and in no case will be asked to participate in review of or comment on performance.

Action item 3: Aggressively and actively recruit minority students

Responsible individual(s): INSTAAR Faculty

Rationale: Minorities are severely underrepresented in the Institute. Recruitment of minority graduate students into INSTAAR is necessary to insure that the next generation of scientists is more in balance with overall scientific and workplace representation of these groups. INSTAAR is not a degree-granting unit. Supporting the CU Boulder SMART program that specifically targets minority students and provides them with summer employment opportunities is a straightforward way to reach out to minority populations.